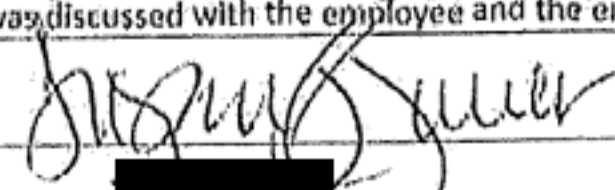
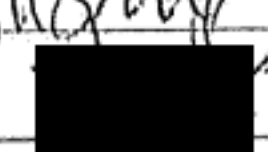

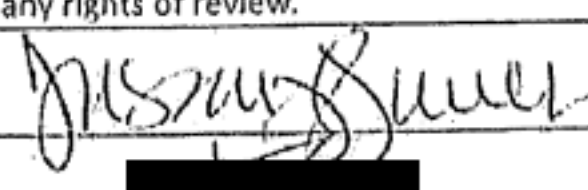




**U.S. DEPARTMENT OF TRANSPORTATION
PERFORMANCE APPRAISAL PLAN**

Section 1 IDENTIFYING INFORMATION		
Name (Last, First, MI) Hauer, Susan H.	Position Title/Pay Plan/Series/Grade Safety & Occupational Health Manager/GS/0018/11	
Organization and Location SLSDC/Office of Engineering and Maintenance	<input type="checkbox"/> Supervisory	<input checked="" type="checkbox"/> Non-Supervisory
Appraisal Period	From: 06/01/2014	To: 05/31/2015
Section 1-A PERFORMANCE PLAN DISCUSSION		
Signatures certify that the plan was discussed with the employee and the employee was provided a copy of this plan.		
Employee Signature		Date 7-24-15
Rating Official Signature		Date 7/24/15
Reviewing Official Signature (if applicable)		Date 7/24/15
Employee Input into Development of Standards (Indicate whether supervisor solicited employee involvement): <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
Section 1-B MID-YEAR REVIEW		
Signatures certify that the employee's progress toward meeting the job performance expectations was discussed with the employee. Section 4 may be used to document the Progress Review.		
Employee Signature	N/A	Date
Rating Official Signature	N/A	Date
Section 1-C SUMMARY PERFORMANCE RATING DETERMINATION		
To assign the summary performance rating, select the highest level met based on the applicable criteria (see OA instructions).		
<input type="checkbox"/> Outstanding		
<input type="checkbox"/> Exceeded Expectations		
<input checked="" type="checkbox"/> Achieved Results		
<input type="checkbox"/> Unacceptable		
Reason for Rating:	<input checked="" type="checkbox"/> Annual Rating of Record <input type="checkbox"/> Employee Reassigned <input type="checkbox"/> Within-Grade Increase <input type="checkbox"/> Employee Leaving Agency <input type="checkbox"/> Other (Specify)	
Section 1-D ACKNOWLEDGEMENT		
I acknowledge receipt of this rating; however, my signature on this form does not imply agreement or disagreement with the rating received or that I forfeit any rights of review.		
Employee Signature		Date 7-24-15
Rating Official Signature		Date 7/24/15
Reviewing Official Signature (if applicable)		Date 7/24/15

Section 2 ACKNOWLEDGEMENT			
<p>The employee's performance plan must include at least one critical element aligned with DOT, OA, and/or organization/unit goals or objectives.</p>			
<p>Enter appropriate DOT/OA/Organization/Unit strategic goal(s):</p> <p>DOT Goal - Enhance public health and safety by working toward the elimination of transportation-related deaths and injuries.</p> <p>SLSDC Goal - Promote navigation and workplace safety, security and environmental protection by reducing vessel incidents and employee injuries, increasing protection of facilities and preventing environmental incidents.</p>			
Section 2-A JOB ELEMENT			
Element <u>3</u> of <u>4</u>	<input checked="" type="checkbox"/> Critical	<input type="checkbox"/> Non-Critical	Weight: 20%
<p>Insert the primary work assignment or responsibility of the employee that supports the achievement of the goal(s)/objective(s) above per instructions. Additional job elements should be attached using additional Section 2 Job Element sheets.</p>			
<p>Element: Education and Training - Manages safety/health/environmental educational and training programs; monitors improvements in safety equipment and procedures; develops and presents program curriculum; works with contractors to supplement in-house educational and training resources; conducts new employee safety orientations; and coordinates employee "tool-box" safety meetings.</p> <p>1. Typically prepared to answer technical questions regarding educational and training requirements. Developed programs are timely, effective and meet current regulatory and policy requirements. Contractor provided programs are reviewed and coordinated with management and employees. Employee requirements and participation are properly documented and updated regularly. "Tool-box" safety meetings are regularly monitored and evaluated with supervisors.</p>			
Section 2-B JOB ELEMENT PERFORMANCE STANDARD(S)			
<p>Outstanding - The employee's performance has added value to the organization and made significant contributions to mission accomplishment. The quality, quantity or timeliness of the employee's work have clearly exceeded the Exceeded Expectations standard and rarely leave room for improvement.</p> <p>Exceeded Expectations: The employee's performance has surpassed what is expected in this job element as defined by the performance targets and has exceeded expectations in major goals. The quality, quantity or timeliness of the employee's work is consistently above average.</p> <p>Achieved Results: The employee's work practices fully meet the requirements of the element and demonstrate good, sound performance and positive response of the employee in accomplishing assignments. The quality, quantity or timeliness of the employee's work represents that of a fully competent employee.</p>			

Section 2-C JOB ELEMENT RATING			
<input type="checkbox"/> Outstanding	<input checked="" type="checkbox"/> Exceeded Expectations	<input type="checkbox"/> Achieved Results	<input type="checkbox"/> Unacceptable
Section 2-D NARRATIVE SUMMARY OF PERFORMANCE			
<p>In support of the rating above, describe specific examples of actual performance above or below the Achieved Results level. If additional space is needed, please provide attachment(s).</p>			
<p>Sue was primarily responsible for becoming familiar with ongoing projects, daily work activities, safety equipment requirements and existing compliance trends with employees and contractors. Sue appropriately addressed concerns or sought out guidance or references in a timely manner to provide clarifications as needed. Sue was unexpectedly tasked with managing a NYS Department of Conservation (NYSDEC) hazardous waste compliance inspection and a hazardous waste generator report. Both of these tasks required her to investigate historical records and past practices to appropriately respond to the the regulators. Sue coordinated closely with engineering and maintenance and successfully completed the required inspections, reports and corrective actions which resulted in no further actions by the NYSDEC.</p>			

Section 2-C JOB ELEMENT RATING			
<input type="checkbox"/> Outstanding	<input type="checkbox"/> Exceeded Expectations	<input checked="" type="checkbox"/> Achieved Results	<input type="checkbox"/> Unacceptable
Section 2-D NARRATIVE SUMMARY OF PERFORMANCE			
<p>In support of the rating above, describe specific examples of actual performance above or below the Achieved Results level. If additional space is needed, please provide attachment(s).</p> <p>In Sue's first four months in this position, she was primarily responsible for becoming familiar with the Corporation's existing policies and procedures and other ongoing regulatory and policy reviews related to issues such as LOTO, confined space and hazardous waste disposal. Her experience with safety and environmental programs was apparent, and her initial evaluations and recommendations were appropriate and thorough. Sue assumed the chair of the safety committee and implemented changes including a safety concern tracking sheet. Sue exhibited good organizational skills and initiated revised documentation procedures needed to meet the duties of her position and the regulatory requirements of the Corporation. She developed a good rapport with the Corporation's employees and maintained timely communications with her supervisor.</p>			

Section 2 ACKNOWLEDGEMENT

The employee's performance plan must include at least one critical element aligned with DOT, OA, and/or organization/unit goals or objectives.

Enter appropriate DOT/OA/Organization/Unit strategic goal(s):

DOT Goal - State Of Good Repair: Ensure the U.S. proactively maintains its critical transportation infrastructure in a state of good repair.

SLSDC Goal - Reliability And Availability: Maintain user confidence in the continued viability of the Seaway System by ensuring that plans and decisions sustain long-term reliability and availability of the U.S. sectors of the St. Lawrence Seaway.

Section 2-A JOB ELEMENT

Element 1 of 4 ☒ Critical ☐ Non-Critical Weight: 30%

Insert the primary work assignment or responsibility of the employee that supports the achievement of the goal(s)/objective(s) above per instructions. Additional job elements should be attached using additional Section 2 Job Element sheets.

Element: Policies and Procedures - Analyzes Federal, State and local laws and regulations (i.e. DOT, OSHA, NYSDEC); evaluates impact of safety/health/environmental regulatory changes on facilities and operations; prepares revised guidelines for policies and procedures; serves as chair for monthly safety and health committee; prepares reports as required; communicates policy and procedural changes; and keeps supervisor informed of progress and issues.

1. Typically prepared to answer technical questions regarding regulations, policies and procedures. Evaluations are thorough with no major requirements overlooked. Proposed guideline revisions are feasible and include input from management and employees as required. Safety and health committee meetings are conducted regularly and action items are effectively coordinated. Reports and communications are substantially complete, accurate and timely.

Section 2-B JOB ELEMENT PERFORMANCE STANDARD(S)

Outstanding - The employee's performance has added value to the organization and made significant contributions to mission accomplishment. The quality, quantity or timeliness of the employee's work have clearly exceeded the Exceeded Expectations standard and rarely leave room for improvement.

Exceeded Expectations: The employee's performance has surpassed what is expected in this job element as defined by the performance targets and has exceeded expectations in major goals. The quality, quantity or timeliness of the employee's work is consistently above average.

Achieved Results: The employee's work practices fully meet the requirements of the element and demonstrate good, sound performance and positive response of the employee in accomplishing assignments. The quality, quantity or timeliness of the employee's work represents that of a fully competent employee.

Section 2 ACKNOWLEDGEMENT			
The employee's performance plan must include at least one critical element aligned with DOT, OA, and/or organization/unit goals or objectives.			
Enter appropriate DOT/OA/Organization/Unit strategic goal(s):			
DOT Goal - Enhance public health and safety by working toward the elimination of transportation-related deaths and injuries.			
SLSDC Goal - Promote navigation and workplace safety, security and environmental protection by reducing vessel incidents and employee injuries, increasing protection of facilities and preventing environmental incidents.			
Section 2-A JOB ELEMENT			
Element 4 of 4	<input checked="" type="checkbox"/> Critical	<input type="checkbox"/> Non-Critical	Weight: 20%
Insert the primary work assignment or responsibility of the employee that supports the achievement of the goal(s)/objective(s) above per instructions. Additional job elements should be attached using additional Section 2 Job Element sheets.			
<p>Element: Accidents, Illnesses or Injuries - Investigates safety/health/environmental incidents; evaluates, recommends and coordinates corrective actions; prepares required documents and reports (i.e. incident reports, OSHA 300/300A, DOT survey); and manages occupational health conservation programs.</p> <p>1. Employee incident investigations are coordinated with supervisors. Root causes are properly evaluated and recommended corrective actions are feasible and timely. Trending data is effectively used when recommending policy and procedural changes. Documents and reports are accurate and reviewed with safety and health committee. Occupational health conservation programs are closely coordinated with employees and contractors. Employee screenings and required follow-up procedures are properly documented and updated regularly.</p>			
Section 2-B JOB ELEMENT PERFORMANCE STANDARD(S)			
<p>Outstanding - The employee's performance has added value to the organization and made significant contributions to mission accomplishment. The quality, quantity or timeliness of the employee's work have clearly exceeded the Exceeded Expectations standard and rarely leave room for improvement.</p> <p>Exceeded Expectations: The employee's performance has surpassed what is expected in this job element as defined by the performance targets and has exceeded expectations in major goals. The quality, quantity or timeliness of the employee's work is consistently above average.</p> <p>Achieved Results: The employee's work practices fully meet the requirements of the element and demonstrate good, sound performance and positive response of the employee in accomplishing assignments. The quality, quantity or timeliness of the employee's work represents that of a fully competent employee.</p>			

Section 3 TRAINING IDENTIFICATION AND CAREER DEVELOPMENT (Optional)

Identify technical and/or management training that could assist the employee in improving job performance. This may also be an appropriate opportunity to discuss and note developmental assignments, cross training, or other career development activities that would better prepare this employee to meet the needs of the organization. This section is optional based on OA program guidance.

Section 4 MID-YEAR REVIEW DOCUMENTATION (Optional)

This section may be used by supervisor and employee to document discussions at the mid-point progress review to note changes in the performance plan and to record comments. Please note any areas in which the individual has excelled or needs improvement. Signatures should be placed in Section 1-B.

Section 5 RATING OFFICIAL OR EMPLOYEE INPUT FOR PERFORMANCE RATING (Optional)

Provide narrative comments from the rating official or employee regarding accomplishments during this performance period that contributed to the OA's vision, mission, and goals. If more space is needed, attach additional sheets as necessary or attach documents.

Section 2-C. JOB ELEMENT RATING			
<input type="checkbox"/> Outstanding	<input type="checkbox"/> Exceeded Expectations	<input checked="" type="checkbox"/> Achieved Results	<input type="checkbox"/> Unacceptable
Section 2-D NARRATIVE SUMMARY OF PERFORMANCE In support of the rating above, describe specific examples of actual performance above or below the Achieved Results level. If additional space is needed, please provide attachment(s).			
<p>Sue was primarily responsible for becoming familiar with the Corporation's existing education and training programs including new employee orientations. She evaluated current employee training needs and successfully developed and presented required training sessions at the annual employee awareness workshops. She also recommended and implemented changes to existing safety procedures to improve employee safety including a revised forklift inspection form. Sue's rapport with the employees and supervisors was readily apparent on a day-to-day basis.</p>			

Section 2-C JOB ELEMENT RATING			
<input type="checkbox"/> Outstanding	<input type="checkbox"/> Exceeded Expectations	<input checked="" type="checkbox"/> Achieved Results	<input type="checkbox"/> Unacceptable
Section 2-D NARRATIVE SUMMARY OF PERFORMANCE			
In support of the rating above, describe specific examples of actual performance above or below the Achieved Results level. If additional space is needed, please provide attachment(s).			
<p>Sue was primarily responsible for becoming familiar with the Corporation's existing Incident policies and procedures and employee occupational health conservation programs. She reviewed ongoing Incident investigations and reports and presented timely updates to the safety committee. Sue worked closely with supervisors to improve overall employee participation in the annual hearing conservation screening program. She successfully completed the newly required annual DOT Incident survey report.</p>			

**U.S. DEPARTMENT OF TRANSPORTATION
Saint Lawrence Seaway Development Corporation
PERFORMANCE APPRAISAL PLAN**

Section 1 IDENTIFYING INFORMATION	
Name (Last, First, MI) Hauer, Susan H.	Position Title/Pay Plan/Series/Grade Safety & Occupational Health Manager/GS/0018/12
Organization and Location SLSDC / Office of Engineering and Maintenance	<input type="checkbox"/> Supervisory <input checked="" type="checkbox"/> Non-Supervisory
Appraisal Period	From: 06/01/2016 To: 05/31/2017
Section 1-A PERFORMANCE PLAN DISCUSSION	
Signatures certify that the plan was discussed with the employee and the employee was provided a copy of this plan.	
Employee Signature <i>Susan Hauer</i>	Date 7-20-16
Rating Official Signature [Redacted]	Date 7/29/16
Reviewing Official Signature (If Applicable) [Redacted]	Date 8/3/16
Employee Input into Development of Standards (Indicate whether supervisor solicited employee involvement): <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Section 1-B MID-YEAR REVIEW	
Signatures certify that the employee's progress toward meeting the job performance expectations was discussed with the employee. Section 4 may be used to document the Progress Review.	
Employee Signature <i>[Signature]</i>	Date 12/29/16
Rating Official Signature [Redacted]	Date 12/29/16
Section 1-C SUMMARY PERFORMANCE RATING DETERMINATION	
To assign the summary performance rating, select the highest level met based on the applicable criteria:	
<input type="checkbox"/> Outstanding	Individual critical job elements constituting at least 70 percent of performance must be rated "Outstanding" with no critical job element rated below "Achieved Results".
<input type="checkbox"/> Exceeded Expectations	Individual critical job elements constituting at least 70 percent or more of performance must be rated no lower than "Exceeded Expectations" and no critical job element rated below "Achieved Results".
<input checked="" type="checkbox"/> Achieved Results	All individual critical job elements must be rated at least "Achieved Results".
<input type="checkbox"/> Unacceptable	One or more critical job elements are rated "Unacceptable"
Reason for Rating: <input checked="" type="checkbox"/> Annual Rating of Record <input type="checkbox"/> Employee Reassigned <input type="checkbox"/> Within Grade Increase <input type="checkbox"/> Employee Leaving Agency <input type="checkbox"/> Other (Specify)	
Section 1-D ACKNOWLEDGEMENT	
I acknowledge receipt of this rating; however, my signature on this form does not imply agreement or disagreement with the rating received or that I forfeit any rights of review.	
Employee Signature <i>Susan Hauer</i>	Date 8-7-2017
Rating Official Signature [Redacted]	Date 8/7/2017
Reviewing Official Signature (If Applicable) [Redacted]	Date 8/8/17

Section 2 JOB ELEMENT WITH PERFORMANCE STANDARDS

The employee's performance plan must include at least one critical element aligned with DOT, OA and/or organization/unit goals or objectives.

DOT Goal - State Of Good Repair: Ensure the U.S. proactively maintains its critical transportation infrastructure in a state of good repair.

SLSDC Goal - Reliability And Availability: Maintain user confidence in the continued viability of the Seaway System by ensuring that plans and decisions sustain long-term reliability and availability of the U.S. sectors of the St. Lawrence Seaway.

Section 2-A Job Element

JOB ELEMENT 1 OF 4 ☒ Critical ☐ Non-Critical Weight : 30%

Primary work assignment or responsibility of the employee that supports the "Achieved Results" level of Performance:

Element: Policies and Procedures - Analyzes Federal, State and local laws and regulations (i.e. DOT, OSHA, NYSDEC); evaluates impact of safety/health/environmental regulatory changes on facilities and operations; prepares revised guidelines for policies and procedures; serves as chair for monthly safety and health committee; prepares reports as required; communicates policy and procedural changes; and keeps supervisor informed of progress and issues. Typically prepared to answer technical questions regarding regulations, policies and procedures. Evaluations are thorough with no major requirements overlooked. Proposed guideline revisions are feasible and include input from management and employees as required. Safety and health committee meetings are conducted regularly and action items are effectively coordinated. Reports and communications are substantially complete, accurate and timely.

Section 2-B Job Element Performance Standard(s)

Outstanding: This is a level of exceptionally, high-quality performance. The quantity, quality, and /or timeliness of the employee's work have clearly surpassed the Exceeded Expectations standard and rarely leave room for improvement, the employee's performance has added value to the organization to an unusual degree, and has made significant contributions to mission accomplishment.

Exceeded Expectations: This is a level of unusually good performance and surpassed what is expected in the job element as defined by performance targets and exceeded expectations in major goals. The quality, quantity, and/or timeliness of the employee's work are consistently above average.

Achieved Results: This is a level of good, sound performance and positive response of the employee in accomplishing assignments. The quality, quantity, and timeliness of the employee's work under this element are that of a fully competent employee. The employees work products fully meet the requirements of the element.

Unacceptable: The employee's work performance does not meet the minimum requirements of the Achieved Results level and contains major deficiencies. The quality, quantity, or timeliness of the employee's work under this element is not adequate for the position. Work contains some inaccuracies, is partially complete or dependant on other staff to complete, would remain unresolved without prompting, or is unprofessional, requiring rewrites or revisions. (Corrective action must be taken.)

Section 2-C Job Element Rating

☐ Outstanding

☐ Exceeded Expectations

☒ Achieved Results

☐ Unacceptable

Section 2-D Narrative Summary of Performance

In support of the rating above, describe specific examples of actual performance above or below the Achieved Results Level. If additional space is needed, please provide attachments.

During this performance period Sue has overall met the requirements to be rated as "Achieved Results" for this CJE. Areas under this CJE that need improvement include:

- Preparing quality and timely revisions of policies and procedures, and
- Keeping her supervisor timely informed of progress and issues, and
- Quality and timeliness of reports and communications.

*There have been no late reports or communications required by OST-Washington, no late reporting related to regulatory requirements and all communication directives are up to date inclusive of a monthly Seaway Soundings articles and numerous bulletin boards throughout the Locks and MB.

*Additional comments continued from Section 5

Section 2 JOB ELEMENT WITH PERFORMANCE STANDARDS

The employee's performance plan must include at least one critical element aligned with DOT, OA and/or organization/unit goals or objectives.

SLSDC Goal - Reliability And Availability: Maintain user confidence in the continued viability of the Seaway System by ensuring that plans and decisions sustain long-term reliability and availability of the U.S. sectors of the St. Lawrence Seaway.

Section 2-A Job Element

JOB ELEMENT 2 OF 4 ☒ Critical ☐ Non-Critical Weight : 30%

Primary work assignment or responsibility of the employee that supports the "Achieved Results" level of Performance:

Element: Compliance - Verifies compliance with safety/health/environmental regulations, policies and procedures; participates in job hazard analysis and conducts inspections of workplace conditions and activities; identifies hazardous exposures and monitors use of personal protective equipment (PPE); evaluates, recommends and coordinates corrective actions; manages hazardous waste storage/disposal program; and provides guidance for other environmental programs (i.e. bulk petroleum storage, spill prevention and control). Typically prepared to answer technical questions regarding compliance with regulations, policies and procedures. Job hazard analysis and inspections are thorough with no major deficiencies overlooked. Recommended corrective actions are feasible and effectively implemented in a timely manner. Hazardous waste storage/disposal and other environmental programs are closely coordinated with employees and contractors to meet implementation and reporting requirements.

Section 2-B Job Element Performance Standard(s)

Outstanding: This is a level of exceptionally, high-quality performance. The quantity, quality, and /or timeliness of the employee's work have clearly surpassed the Exceeded Expectations standard and rarely leave room for improvement, the employee's performance has added value to the organization to an unusual degree, and has made significant contributions to mission accomplishment.

Exceeded Expectations: This is a level of unusually good performance and surpassed what is expected in the job element as defined by performance targets and exceeded expectations in major goals. The quality, quantity, and/or timeliness of the employee's work are consistently above average.

Achieved Results: This is a level of good, sound performance and positive response of the employee in accomplishing assignments. The quality, quantity, and timeliness of the employee's work under this element are that of a fully competent employee. The employees work products fully meet the requirements of the element.

Unacceptable: The employee's work performance does not meet the minimum requirements of the Achieved Results level and contains major deficiencies. The quality, quantity, or timeliness of the employee's work under this element is not adequate for the position. Must be continuously prompted to complete employee performance plans and appraisals on time, or within a short period after the original deadline. Employee work issues are not handled properly or resolved at the lowest level. Recognition and reward of employees is not considered, without much prompting by supervisor. (Corrective action must be taken.)

Section 2-C Job Element Rating

☐ Outstanding

☐ Exceeded Expectations

☒ Achieved Results

☐ Unacceptable

Section 2-D Narrative Summary of Performance

In support of the rating above, describe specific examples of actual performance above or below the Achieved Results Level. If additional space is needed, please provide attachments.

During this performance period Sue has overall met the requirements to be rated as "Achieved Results" for this CJE. Sue has provided guidance and monitoring on PPE. Additionally, Sue has maintained and provided compliance for the hazardous waste storage and disposal program.

Section 2 JOB ELEMENT WITH PERFORMANCE STANDARDS

The employee's performance plan must include at least one critical element aligned with DOT, OA and/or organization/unit goals or objectives.

SLSDC Goal - Reliability And Availability: Maintain user confidence in the continued viability of the Seaway System by ensuring that plans and decisions sustain long-term reliability and availability of the U.S. sectors of the St. Lawrence Seaway.

Section 2-A Job Element

JOB ELEMENT 3 OF 4 ☒ Critical ☐ Non-Critical Weight : 20%

Primary work assignment or responsibility of the employee that supports the "Achieved Results" level of Performance:

Element: Education and Training - Manages safety/health/environmental educational and training programs; monitors improvements in safety equipment and procedures; develops and presents program curriculum; works with contractors to supplement in-house educational and training resources; conducts new employee safety orientations; and coordinates employee "tool-box" safety meetings. Typically prepared to answer technical questions regarding educational and training requirements. Developed programs are timely, effective and meet current regulatory and policy requirements. Contractor provided programs are reviewed and coordinated with management and employees. Employee requirements and participation are properly documented and updated regularly. "Tool-box" safety meetings are regularly monitored and evaluated with supervisors.

Section 2-B Job Element Performance Standard(s)

Outstanding: This is a level of exceptionally, high-quality performance. The quantity, quality, and /or timeliness of the employee's work have clearly surpassed the Exceeded Expectations standard and rarely leave room for improvement, the employee's performance has added value to the organization to an unusual degree, and has made significant contributions to mission accomplishment.

Exceeded Expectations: This is a level of unusually good performance and surpassed what is expected in the job element as defined by performance targets and exceeded expectations in major goals. The quality, quantity, and/or timeliness of the employee's work are consistently above average.

Achieved Results: This is a level of good, sound performance and positive response of the employee in accomplishing assignments. The quality, quantity, and timeliness of the employee's work under this element are that of a fully competent employee. The employees work products fully meet the requirements of the element.

Unacceptable: The employee's work performance does not meet the minimum requirements of the Achieved Results level and contains major deficiencies. The quality, quantity, or timeliness of the employee's work under this element is not adequate for the position. Work contains some inaccuracies, is partially complete, or is dependent on other staff to complete. Employees are not given a sufficient level of autonomy, which results in work delays. (Corrective action must be taken.)

Section 2-C Job Element Rating

☐ Outstanding

☐ Exceeded Expectations

☒ Achieved Results

☐ Unacceptable

Section 2-D Narrative Summary of Performance

In support of the rating above, describe specific examples of actual performance above or below the Achieved Results Level. If additional space is needed, please provide attachments.

During this performance period Sue has overall met the requirements to be rated as "Achieved Results" for this CJE. Areas under this CJE that need improvement include:

- Improvements to inventorying and providing guidance on the application of safety equipment, and
- Improvements to safety procedures such as Lockout/Tagout and Confined Spaces.

† There is a complete inventory of all safety equipment performed and maintained annually and professional guidance, with the assistance of outside vendors, has been provided related to the application.

LOTO and Confined Space program have been a priority for over two years.

*Additional comments continued from Section 5

Section 2 JOB ELEMENT WITH PERFORMANCE STANDARDS

The employee's performance plan must include at least one critical element aligned with DOT, OA and/or organization/unit goals or objectives.

SLSDC Goal - Reliability And Availability: Maintain user confidence in the continued viability of the Seaway System by ensuring that plans and decisions sustain long-term reliability and availability of the U.S. sectors of the St. Lawrence Seaway.

Section 2-A Job Element

JOB ELEMENT 4 OF 4 ☒ Critical ☐ Non-Critical Weight : 20%

Primary work assignment or responsibility of the employee that supports the "Achieved Results" level of Performance:

Element: Accidents, Illnesses or Injuries - Investigates safety/health/environmental incidents; evaluates, recommends and coordinates corrective actions; prepares required documents and reports (i.e. incident reports, OSHA 300/300A, DOT survey); and manages occupational health conservation programs. Employee incident investigations are coordinated with supervisors. Root causes are properly evaluated and recommended corrective actions are feasible and timely. Trending data is effectively used when recommending policy and procedural changes. Documents and reports are accurate and reviewed with safety and health committee. Occupational health conservation programs are closely coordinated with employees and contractors. Employee screenings and required follow-up procedures are properly documented and updated regularly.

Section 2-B Job Element Performance Standard(s)

Outstanding: This is a level of exceptionally, high-quality performance. The quantity, quality, and /or timeliness of the employee's work have clearly surpassed the Exceeded Expectations standard and rarely leave room for improvement, the employee's performance has added value to the organization to an unusual degree, and has made significant contributions to mission accomplishment.

Exceeded Expectations: This is a level of unusually good performance and surpassed what is expected in the job element as defined by performance targets and exceeded expectations in major goals. The quality, quantity, and/or timeliness of the employee's work are consistently above average.

Achieved Results: This is a level of good, sound performance and positive response of the employee in accomplishing assignments. The quality, quantity, and timeliness of the employee's work under this element are that of a fully competent employee. The employees work products fully meet the requirements of the element.

Unacceptable: The employee's work performance does not meet the minimum requirements of the Achieved Results level and contains major deficiencies. The quality, quantity, or timeliness of the employee's work under this element is not adequate for the position. Must be continuously prompted to complete employee performance plans and appraisals on time, or within a short period after the original deadline. Employee work issues are not handled properly or resolved at the lowest level. Recognition and reward of employees is not considered, without much prompting by supervisor. (Corrective action must be taken.)

Section 2-C Job Element Rating

☐ Outstanding

☐ Exceeded Expectations

☒ Achieved Results

☐ Unacceptable

Section 2-D Narrative Summary of Performance

In support of the rating above, describe specific examples of actual performance above or below the Achieved Results Level. If additional space is needed, please provide attachments.

During this performance period Sue has overall met the requirements to be rated as "Achieved Results" for this CJE. Areas under this CJE that need improvement include:

- Quality and timely investigating and internal reporting and documentation of accidents and injuries, and
- Timely review of incident reports with the safety and health committee.

*Incident reports are reviewed on a quarterly basis. These reviews have been conducted per the protocol (See Safety Committee agenda and notes for evidence). All reporting milestones have been met. I have not been made aware of any changes to reporting time frames or received any feedback that there has been an issue with the quality of my work.

*Additional comments continued from Section 5

Section 3 TRAINING IDENTIFICATION AND CAREER DEVELOPMENT (Optional)

Identify technical and/or management training that could assist the employee in improving job performance. This may also be an appropriate opportunity to discuss and note developmental assignments, cross training or other career development activities which would better prepare this employee to meet the needs of the organization. This section is optional based on OA program guidance.

I will require recertification of my HAZWOPPER and Haz Mat certification which is required for the handling, shipping and inspection of hazardous waste. This expires in CY2017.

Section 4 MID-YEAR REVIEW DOCUMENTATION (Optional)

This section may be used by supervisor and employee to document discussions at the mid-point progress review to note changes in the performance plan and to record comments. Please note any areas in which the individual has excelled or needs improvement. Signatures should be placed in Section 1-B.

Section 5 RATING OFFICIAL OR EMPLOYEE INPUT FOR PERFORMANCE RATING (Optional)

Provide narrative comments from the rating official or employee regarding accomplishments during this performance year that contributed to the OA's Vision, Mission, and goals. If more space is needed, attach additional sheets as necessary or attach documents.

██████████ (Evaluator) stated that this performance review ONLY encompassed his tenure as Chief Engineer which began in November of 2016-It did not take into consideration any activities from July 2016 until November 2016 nor did he review or consult with the previous evaluator. "I know what I know and I know what I see" was his response when asked what his criteria for this evaluation was based on. The previous evaluator ██████████, who was responsible for almost half of the years supervision, did not participate in this evaluation nor was he consulted, per ██████████. Not taken into consideration as part of this evaluation are the following milestones:

- ~reduction of recordable injuries by almost half from the previous calendar year
- ~creation of an Incident Review Board to facilitate a more thorough review of incidents and accidents
- ~creation of Near Miss reporting to continue our Incident/accident reporting protocol
- ~implementation of a lead screening program and preliminary advances in protection of the Corporation by expanding the medical entry exams
- ~coordination and implementation of an internal CPR/AED program
- ~facilitation and minimization of potential citations related to an EPA inspection in August of 2016
- ~work with the Maintenance Group to design & install new directional and OSH signage at Eisenhower Lock & Visitor's Center along with participation in the preparation of the Visitors Center opening and entranceway improvements
- ~partner in the implementation of rescue boats at both Locks
- ~facilitate third party assessments & on site evaluations as part of the ongoing LOTO & Confined Space Programs
- ~addition of complete responsibility of the Medical Surveillance Program inclusive of administration, scheduling, review and distribution
- ~continual improvements to the PPE program with the addition of a jewelry component to the matrix and expansion of PPE products made available to employees (glasses, vests, winter wear)
- ~identification of additional programs in need of implementation and lead on creating awareness of the lack of compliance related but not limited to: Arc Flash, Emergency Egress/lights/Fire Systems
- ~maintaining the highest rating within the DOT related to Program Evaluations with 91%
- ~participation in the Corporation's newly formed Communication Committee as well as local SERWC Secretary
- ~expansion of the Safety Committee communications by beginning a separate meeting for Administration Building personnel

Please see individual ratings for additional comments (*) related to this Section.